

2005 Rec'd PCT/PTO 30 SEP 2005

Express Mailing Label No. EV 680256508 US

PATENT APPLICATION

Docket: 16169.5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:		)	
	Yasuhiro Saito, et al.	)	
		)	
Serial No.:	10/532,538	)	Art Unit
		)	Unknown
Confirmation No.:	Unknown	)	
		)	
Filed:	April 22, 2005	)	
		)	
For:	GLASS SUBSTRATE FOR INFORMATION	)	
	RECORDING MEDIUM AND METHOD FOR	)	
	MANUFACTURING SAME	)	

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

RESPONSE TO NOTIFICATION OF  
MISSING REQUIREMENTS UNDER 35 U.S.C. 371

Sir:

In response to the Notification of Missing Requirements mailed August 29, 2005, the Applicants point out that all missing requirements were filed with the United States Patent and Trademark Office in a submission on August 17, 2005. Included in that submission, and attached hereto for reference, were the below items:

- Declaration and Power of Attorney executed by the inventors
- A Certificate of Express Mail under 37 C.F.R. § 1.10.
- PTO-2038 Credit Card Form in the amount of \$130.00
- Transmittal Letter to the United States Designated/Elected Office
- Postcard

Along with this Response is the date stamped Express Mail Receipt and postcard we received back from the USPTO.

Please address all future correspondence in connection with this case to the attention of the undersigned.

DATED this 29 day of September, 2005.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "R. Burns Israelsen". The signature is fluid and cursive, with the first letters of each word being capitalized and prominent.

R. BURNS ISRAELSEN  
Attorney for Applicant  
Registration No. 42,685  
Customer No. 022913

RBI:blh

W:\16169\5\BLM0000004800V001.doc

16169.5

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/532,538 ✓

INTERNATIONAL APPLICATION NO.  
PCT/JP03/13461

INTERNATIONAL FILING DATE  
10/22/2003

PRIORITY DATE CLAIMED  
10/23/2002

TITLE OF INVENTION

GLASS SUBSTRATE FOR INFORMATION RECORDING MEDIUM AND METHOD FOR MANUFACTURING SAME

APPLICANT(S) FOR DO/EO/US

Yasuhiro Saito, Toshiaki Hashimoto, Yuriko Kudoh

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☒ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV680256508US
23. ☒ Other items or information:  
Confirmation Receipt Postcard

U.S. APPLICATION NO (if known; see 37 CFR 1.5) <b>10/532,538</b>		INTERNATIONAL APPLICATION NO. <b>PCT/JP03/13461</b>		ATTORNEY'S DOCKET NUMBER <b>16169.5</b>	
The following fees are submitted:				<b>CALCULATIONS</b>	<b>PTO USE</b>
24. <input type="checkbox"/> Basic national fee .....		\$300		\$	\$0.00
25. <input type="checkbox"/> Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4). ....		\$100		\$	\$0.00
All other situations. ....		\$200			
26. <input type="checkbox"/> Search fee .....					
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority .....		\$100			
International Search Report prepared and provided to the Office .....		\$400			
All other situations. ....		\$500		\$	\$0.00
<b>TOTAL OF 24, 25 and 26 =</b>				\$	\$0.00
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE		
- 100 =	0	/50 =	0	x	\$250.00
				\$	\$0.00
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	\$130.00
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	- 20 =	0	x	\$50.00	\$0.00
Independent claims	- 3 =	0	x	\$200.00	\$0.00
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> +				\$360.00	\$0.00
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	\$130.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	\$0.00
<b>SUBTOTAL =</b>				\$	\$130.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	\$0.00
<b>TOTAL NATIONAL FEE =</b>				\$	\$130.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$	\$0.00
<b>TOTAL FEES ENCLOSED =</b>				\$	\$130.00
				Amount to be	\$
				Amount to be	\$

a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-3178. A duplicate copy of this sheet is enclosed.

d. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:  
**WORKMAN NYDEGGER**  
Customer No. 022913

R. Burns Aug. 17, 2005  
SIGNATURE  
**R. BURNS ISRAELSEN**  
NAME  
**42,685**  
REGISTRATION NUMBER

10/06/2005 GFREY1 00000134 10532538

01 FC:161 130.00 OP

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Yasuhiro Saito, et al.

Docket No.

16169.5

Application No.

10/532,538

Filing Date

04/22/2005

Examiner

Unknown

Customer No.

022913

Group Art Unit

Unknown

Invention: **GLASS SUBSTRATE FOR INFORMATION RECORDING MEDIUM AND METHOD FOR MANUFACTURING SAME**

I hereby certify that the following correspondence:

Transmittal Letter to United States Designated Elected Office (2 pgs, in duplicate); Declaration and Power of Attorney for Patent Application (4 pgs); PTO-2038 Credit Card Form in the amount of \$130.00 (1 pg); Certificate of Express Mail Label No. EV680256508US (1 pg); and Postcard

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

August 17, 2005*(Date)*

Beth L. Haslam

*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*

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PLEASE STAMP AND RETURN. THANK YOU.

SUBMITTED: Transmittal Letter to United States Designated Elected Office (2 pgs, in duplicate); Declaration and Power of Attorney for Patent Application (4 pgs); PTO-2038 Credit Card Form in the amount of \$130.00 (1 pg); Certificate of Express Mail Label No. EV680256508US (1 pg); and Postcard

Applicant(s): Yasuhiro Saito, et al.  
For: GLASS SUBSTRATE FOR INFORMATION  
RECORDING MEDIUM AND METHOD FOR  
MANUFACTURING SAME

Serial No.: 10/532,538  
Filed: April 22, 2005  
Date of Mailing: August 17, 2005  
Docket: 16169.5  
Contact: R. BURNS ISRAELSEN  
(801) 533-9800

JC02 Rec'd PCT/PTO 17 AUG 2005



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/532,538	Yasuhiro SAITO	16169.5

INTERNATIONAL APPLICATION NO.
PCT/JP03/13461

I.A. FILING DATE	PRIORITY DATE
10/22/2003	10/23/2002

22913  
WORKMAN NYDEGGER  
(F/K/A WORKMAN NYDEGGER & SEELEY)  
60 EAST SOUTH TEMPLE  
1000 EAGLE GATE TOWER  
SALT LAKE CITY, UT 84111

CONFIRMATION NO. 9290  
371 FORMALITIES LETTER  
\*OC000000016871438\*  
\*OC000000016871438\*

Date Mailed: 08/29/2005

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 04/22/2005
- English Translation of the IA filed on 04/22/2005
- Copy of the International Search Report filed on 04/22/2005
- Copy of IPE Report filed on 04/22/2005
- Preliminary Amendments filed on 04/22/2005
- Information Disclosure Statements filed on 08/01/2005
- U.S. Basic National Fees filed on 04/22/2005
- Priority Documents filed on 04/22/2005

MISSING  
10/22/05  
ISR 9/26/05

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

FRANCINE YOUNG

Telephone: (703) 308-9140 EXT 215

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/532,538	PCT/JP03/13461	16169.5

FORM PCT/DO/EO/905 (371 Formalities Notice)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

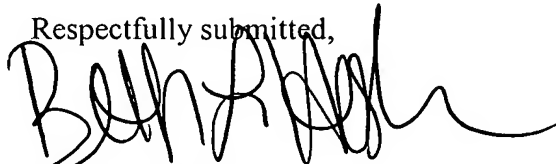
In re application of:		)	
	Yasuhiro Saito, et al.	)	
Serial No.:	10/532,538	)	Art Unit
Confirmation No.:	Unknown	)	Unknown
Filed:	April 22, 2005	)	
For:	GLASS SUBSTRATE FOR INFORMATION RECORDING MEDIUM AND METHOD FOR MANUFACTURING SAME	)	

CERTIFICATE OF EXPRESS MAIL UNDER 37 C.F.R. § 1.10

I hereby certify that the following document are being deposited with the United States Postal Service as Express mail, postage prepaid, in an envelope addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 30<sup>th</sup> day of September, 2005:

- Notification of Missing Requirements Under 35 U.S.C. 371
- Response to Notification of Missing Requirements Under 35 U.S.C. 371 with attachments
- Copy of date stamped postcard and Express Mail Label
- Postcard

Respectfully submitted,



Beth L. Haslam  
Assistant to R. Burns Israelsen

WORKMAN NYDEGGER  
Customer No. 022913